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EXAMINER
RUTLEDGE, AMELIA L

ART UNIT	PAPER NUMBER
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

PTOL-90A (Rev. 04/07)

Office Action Summary	Application No. 09/998,895	Applicant(s) TENG ET AL.	
	Examiner Amelia Rutledge	Art Unit 2176	

-- *The MAILING DATE of this communication appears on the cover sheet with the correspondence address* --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>18 May 2007</u>.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>1-3,5,6,9-11,13-16,20,21,23-26,30,31,33-36 and 39-46</u> is/are pending in the application.

  4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>1-3,5,6,9-11,13-16,20,21,23-26,30,31,33-36 and 39-46</u> is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

  Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

  Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

  a)☐ All   b)☐ Some * c)☐ None of:

  1.☐ Certified copies of the priority documents have been received.

  2.☐ Certified copies of the priority documents have been received in Application No. _____.

  3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

  * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☐ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO/SB/08)
  Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
  Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

U.S. Patent and Trademark Office

PTOL-326 (Rev. 08-06)   Office Action Summary   Part of Paper No./Mail Date 20070720

DETAILED ACTION

1.   This action is responsive to communications: Amendment, filed 05/18/2007;

Request for Continued Examination, filed 05/18/2007.

2.   Claims 1-3, 5, 6, 9-11, 13-16, 20, 21, 23-26, 30, 31, 33-36, and 39-46 are

pending in the case. Claims 1, 14, 24 and 39 are independent claims.

Continued Examination Under 37 CFR 1.114

3.   A request for continued examination under 37 CFR 1.114, including the fee set

forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this

application is eligible for continued examination under 37 CFR 1.114, and the fee set

forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action

has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on

05/18/2007 has been entered.

Claim Rejections - 35 USC § 103

1.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

2.   Claims 1-3, 5, 6, 9-11, 13-16, 20, 21, 23-26, 30, 31, 33-36, and 39-46 are

rejected under 35 U.S.C. 103(a) as being unpatentable over Du et al. (hereinafter

"Du"), U.S. Patent No. 6,041,306, issued March 2000, in view of *SiteMinder Policy*

***Server Operations Guide, Version 4.0* (hereinafter "SiteMinder"), Netegrity Inc.,**

published 1997 and submitted with Applicant's Information Disclosure Statement

filed March 15, 2004.

Independent claim 1 cites: *A computer-implemented method for using*

workflows, comprising the steps of: associating workflows with one or more groups in an

identity system, each group including one or more users of the identity system;

receiving a request to perform a task that pertains to at least one identity profile

of an entity in said identity system; and performing a first workflow for said task, said

first workflow is associated with a first group that includes a target identity profile;

Du teaches a method for performing flexible workflow process execution in a

distributed workflow management system (Abstract), and encapsulating legacy systems

using business objects as a representation of something active in the business domain,

to map between the business model and the operational procedures of the workflow

process system (Col. 8, l. 36-44; l. 52-64). Du teaches launching workflow process

instances in response to user requests (Col. 7, l. 45-46). Du teaches that a policy is a

set of rules that determines how resources, i.e., users, are related to tasks (Col. 8, l. 52-

63). Although Du teaches applying policies to users, Du does not explicitly teach

associating workflows with groups in an identity system. However, SiteMinder teaches

a policy server, i.e., identity system, for associating workflows, i.e., rules for user

interaction with system resources, with policy domains (p. 235-237) by using SiteMinder

responses and response groups (Chapter 11, p. 302-304) and creating policies, i.e.,

workflows, to specify actions that should take place when users access specific

resources, which are tasks and/or software within a domain (Chapter 12, Policies, p.

325-328), compare to *associating workflows with one or more groups in an identity*

system, each group including one or more users of the identity system. Specifically,

SiteMinder teaches that a policy domain is a logical grouping of resources associated

with one or more user directories, i.e., one or more users of the system (p. 235, par. 1;

p. 235).

Claim 1 also cites: *said request includes an identification of said target identity*

profile; said step of performing includes the steps of identifying a plurality of workflows

that perform said task and are associated with groups that include said target identity

profile, said set plurality workflows includes said first workflow, reporting said set

plurality workflows to a user, receiving from the user a selection of said first workflow

from the plurality of workflows, and performing one or more steps of said first workflow;

Du teaches the steps of identifying a plurality of workflows that perform a task and are

associated with domains that include the target, and reporting one more workflow, and

receiving from a user a selection of the first workflow, and performing one or more steps

of said first workflow, in the prototype of automatically configuring a data path with a

flexible workflow (Fig. 6, Col. 1, l. 20-Col. 2, l. 56; Col. 10, l. 5-Col. 11, l. 25). SiteMinder

teaches a policy server, i.e., identity system, for associating workflows, i.e., rules for

user interaction with system resources, with policy domains (p. 235-237) by using

SiteMinder responses and response groups (Chapter 11, p. 302-304) and creating

policies to specify actions that should take place when users access specific resources,

which are tasks and/or software within a domain (Chapter 12, Policies, p. 325-328).

Both Du and SiteMinder are analogous art, since both are directed toward policy and

identity management. It would have been obvious to one of ordinary skill in the art at

the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of

a policy server which would integrate applications and improve workflow by integrating

directories and external databases in its policies so that legacy applications and

systems could still be used (SiteMinder, p. 22-23, last paragraph).

Claim 1 also cites: *wherein; said first workflow comprises a predefined set of*

steps that perform said tasks to affect the target identity profile, said predefined set of

steps comprising a first step and a second step;

said first step is performed by a first program;

said second step is performed by a second program;

information is passed between said first program and said second program

according to a defined set of rules: and

at least one of the first program and the second program is external to the

workflow.

Du teaches creating workflow processes by assembling business objects in

sequence, i.e., *comprises a predefined set of steps that perform said tasks,* and

applying a set of rules for passing information between programs, and executing the

flexible workflow processes as specified by a directed graph comprising a set of nodes

connected by arcs (Col. 8, I. 45-63; Col. 11, I. 26-Col. 12, I. 29). Du teaches resource

mapping in flexible workflow paths that also support redirect resource mapping, which

allows a business object to recommend another business object for a task (Col. 17, I.

25-40), compare to *information is passed between said first program and said second program according to a defined set of rules: and at least one of the first program and the second program is external to the workflow.* The flexible workflow execution allows freedom of task assignment and external activities to be performed (Col. 12, l. 41-43; Col. 6, l. 39-49).

Both Du and SiteMinder are analogous art, since both are directed toward policy and identity management. It would have been obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding dependent claim 2, while Du does not explicitly teach associating a workflow with a hierarchical data structure, SiteMinder teaches creating a policy domain which contains zero or more realms (p. 241, "Creating a Realm"). SiteMinder teaches that realms represent groups of resources and realms can be nested within other realms to represent the grouping of network resources (p. 247-249, "Understanding Nested Realms"). Both Du and SiteMinder are analogous art, since both are directed toward policy management. It would have been obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding dependent claim 3, Du teaches identifying one or more workflows

associated with a target identity profile (Col. 5, l. 59-Col. 6, l. 10). SiteMinder teaches

associating resources with a policy domain (p. 235-236). Both Du and SiteMinder are

analogous art, since both are directed toward policy management. It would have been

obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder

to Du, so that Du would have the benefit of a policy server which would integrate

applications and improve workflow by integrating directories and external databases in

its policies so that legacy applications and systems could still be used (SiteMinder, p.

22-23, last paragraph).

Regarding dependent claims 5 and 6, Du teaches that the user can request to

delete or modify a target identity profile, for example the role specification and activity to

a business object (Col. 19, l. 54-67). In another example, the user can request to add

or drop communication paths between certain endpoints in a private virtual network

(Col. 10, l. 40-45).

Regarding dependent claims 9 and 10, Du teaches the use of policies to

ensure proper authorization and authentication (Col. 8, l. 57-63), but Du does not

explicitly teach an integrated identity and access system. However, SiteMinder

comprises an integrated identity and access system (p. 20-24, "Overview") with user

self-registration (p. 395, par. 2). Both Du and SiteMinder are analogous art, since both

are directed toward policy management. It would have been obvious to one of ordinary

skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would

have the benefit of a policy server which would integrate applications and improve

workflow by integrating directories and external databases in its policies so that legacy

applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding dependent claim 11, Du teaches that workflows can delegate work

to other workflow processes or resources (Col. 20, l. 50-Col. 21, l. 15).

Regarding dependent claim 13, while Du does not explicitly teach associating a

workflow with a hierarchical data structure, SiteMinder teaches creating a policy domain

which contains zero or more realms (p. 241, "Creating a Realm"). SiteMinder teaches

that realms represent groups of resources and realms can be nested within other

realms to represent the grouping of network resources (p. 247-249, "Understanding

Nested Realms"). SiteMinder teaches that the hierarchical data structure of policy

domains and realms includes an LDAP directory (p. 352). Both Du and SiteMinder are

analogous art, since both are directed toward policy management. It would have been

obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder

to Du, so that Du would have the benefit of a policy server which would integrate

applications and improve workflow by integrating directories and external databases in

its policies so that legacy applications and systems could still be used (SiteMinder, p.

22-23, last paragraph).

In regard to independent claim 14, claim 14 reflects the processor readable

storage device(s) having processor readable code used to perform the method as

claimed in claim 1, and is rejected along the same rationale.

In regard to dependent claims 15-21 and 23, claims 15-21 and 23 reflect the

processor readable storage device(s) having processor readable code used to perform

the method as claimed in claims 2, 3, 4, 7-9, 11, and 13, and are rejected along the same rationale.

In regard to independent claim 24, claim 24 reflects the apparatus used to perform the method as claimed in claim 1, and is rejected along the same rationale.

In regard to dependent claims 25-33, claims 25-31 and 33 reflect the apparatus used to perform the method as claimed in claims 2, 3, 4, 7-9, 11, and 13, and are rejected along the same rationale.

Regarding dependent claims 34 and 35, while Du teaches a flexible workflow process execution system, Du does not explicitly teach managing a target identity profile. However, SiteMinder teaches automatically managing target user identity profiles using workflows, i.e., specifying templates and sequences for registration (p. 398-399; p. 398-401). SiteMinder teaches applying domain policies to users (p. 141-416), i.e., changing a user attribute. Both Du and SiteMinder are analogous art, since both are directed toward policy management. It would have been obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding dependent claim 36, while Du does not explicitly teach managing certificates, SiteMinder teaches managing certificates associated with identity profiles

(p. 533-536) via the user's browser. Both Du and SiteMinder are analogous art, since both are directed toward policy management. It would have been obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding independent claim 39, Du teaches a method for performing flexible workflow process execution in a distributed workflow management system (Abstract), and encapsulating legacy systems using business objects as a representation of something active in the business domain, to map between the business model and the operational procedures of the workflow process system (Col. 8, l. 36-44; l. 52-64). Du teaches launching workflow process instances in response to user requests (Col. 7, l. 45-46). Du teaches that a policy is a set of rules that determines how resources, i.e., users, are related to tasks (Col. 8, l. 52-63). Du teaches identifying a plurality of workflows that perform a task and are associated with groups that include the target, and reporting one more workflow, and receiving from a user a selection of the first workflow, and performing steps of the workflow, automatically configuring a data path with a flexible workflow (Fig. 6, Col. 1, l. 20-Col. 2, l. 56; Col. 10, l. 5-Col. 11, l. 25).

Although Du teaches applying policies to users, Du does not explicitly teach associating workflows with groups in an identity system. SiteMinder teaches a policy server, i.e., identity system, for associating workflows, i.e., rules for user interaction with

system resources, with policy domains (p. 235-237) by using SiteMinder responses and

response groups (Chapter 11, p. 302-304) and creating policies, i.e., workflows, to

specify actions that should take place when users access specific resources, which are

tasks and/or software within a domain (Chapter 12, Policies, p. 325-328). Specifically,

SiteMinder teaches that a policy domain is a logical grouping of resources associated

with one or more user directories, i.e., one or more users of the system (p. 235, par. 1;

p. 235). SiteMinder teaches that each user of the system has an associated identity

profile (p. 396-403, especially p. 396-397; p. 419-424; p. 431-435), compare to

associating workflows with one or more groups in an identity system, each group

including one or more users of the identity system and each user of the identity system

having an associated identity profile. SiteMinder teaches *receiving a request to*

perform a task that pertains to a target identity profile in the identity system, wherein the

request includes an identification of the target identity profile; identifying a plurality of

workflows that perform the task and are associated with groups that include the user

associated with the target identity profile; and reporting the plurality of workflows; since

SiteMinder teaches that policies, or workflows, contain rules, specified users or groups

of users, responses, i.e., the action that is triggered in the workflow, and which have

bindings to link a user with a policy (p. 326-328, also see Ch. 12, Policies). SiteMinder

teaches *receiving a user selection of a first workflow from the set of one or more*

workflows; and performing one or more steps of said first workflow to affect the target

identity profile, because SiteMinder teaches that each user of the system has an

associated identity profile, and that the system may be configured with a policy for user

self-registration, i.e., a workflow, which contains steps for users to modify their own

profiles (p. 398; p. 419-435), including deleting and modifying their own profiles.

Claim 39 further cites: *performing a first step of said first workflow with a first*

program to affect the target identity profile, wherein the first program comprises one of a

user manager, a group manager, and an organization manager; and performing a

second step of said first workflow with a second program, wherein the second program

comprises one of the user manager, the group manager, and the organization manager

and wherein the second program is different from the first program

Du teaches the use of workflow management subsystems, or resource managers,

which assign resources to workflow activities when needed (col. 8, l. 53-col. 9, l. 5; col.

20, l. 50-col. 21, l. 15), and Du teaches a process model of nodes and a directed graph,

containing work nodes which represent workflow processes, i.e., steps of workflows

(col. 6, l. 12-col. 7, l. 35). Therefore Du teaches that the different workflow management

subsystems and interface perform the steps of the workflow (col. 5, l. 59-col. 6, l. 10),

and separate managers, such as group manager (col. 7, l. 64-col. 8, l. 2) and role

manager (col. 19, l. 46-67). SiteMinder teaches that policies, or workflows, contain

rules, specified users or groups of users, responses, i.e., the action that is triggered in

the workflow, and which have bindings to link a user with a policy (p. 326-328, also see

Ch. 12, Policies).

Both Du and SiteMinder are analogous art, since both are directed toward policy

and identity management. It would have been obvious to one of ordinary skill in the art

at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit

of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding dependent claims 40-43, SiteMinder teaches that each user of the system has an associated identity profile, and that the system may be configured with a policy for user self-registration, i.e., a workflow, which contains steps for users to modify their own profiles (p. 398; p. 419-435), including deleting and modifying their own profiles. Both Du and SiteMinder are analogous art, since both are directed toward policy and identity management. It would have been obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Regarding dependent claim 44, Du teaches that said second program performs a second workflow to affect the target identity profile. Du teaches identifying a plurality of workflows that perform a task and are associated with groups that include the target, and reporting one more workflow, and receiving from a user a selection of the first workflow, and performing steps of the workflow, automatically configuring a data path with a flexible workflow (Fig. 6, Col. 1, l. 20-Col. 2, l. 56; Col. 10, l. 5-Col. 11, l. 25).

Regarding dependent claim 45, Du teaches that the second program is identified in an event catalog of the first workflow, since Du teaches logging each node transition and event in the OpenPM Engine (col. 7, l. 35-col. 8, l. 10).

Regarding dependent claim 46, Du teaches that the event catalog further

identifies one or more parameters for passing information between the first program and

the second program, because Du further teaches that the OpenPM Engine contains an

abstraction called a business object to encapsulate whatever piece of work each

process activity, i.e., program, has to accomplish and provides a mapping between the

business model and the operational procedures of the workflow process system (col. 8,

l. 12-52).

Response to Arguments

Applicant's arguments filed 05/18/2007 in regard to the 35 U.S.C. 103 rejections,

Du in view of SiteMinder (Remarks, p. 11-15), have been fully considered but they are

not persuasive. Applicant argues that the Du and SiteMinder references do not teach

the newly claimed limitations of amended claims 1, 14, and 24, *said request includes an*

identification of said target identity profile; said step of performing includes the steps of

identifying a plurality of workflows that perform said task and are associated with groups

that include said target identity profile, said set plurality workflows includes said first

workflow, reporting said set plurality workflows to a user, receiving from the user a

selection of said first workflow from the plurality of workflows, and performing one or

more steps of said first workflow; (Claim 1).

However, the combination of Du and SiteMinder does teach the above

limitations. Du teaches the steps of identifying a plurality of workflows that perform a

task and are associated with domains that include the target, and reporting one more

workflow, and receiving from a user a selection of the first workflow, and performing one

or more steps of said first workflow, in the prototype of automatically configuring a data

path with a flexible workflow (Fig. 6, Col. 10, l. 5-Col. 11, l. 25). SiteMinder teaches a

policy server, i.e., identity system, for associating workflows, i.e., rules for user

interaction with system resources, with policy domains (p. 235-237) by using SiteMinder

responses and response groups (Chapter 11, p. 302-304) and creating policies to

specify actions that should take place when users access specific resources, which are

tasks and/or software within a domain (Chapter 12, Policies, p. 325-328). Both Du and

SiteMinder are analogous art, since both are directed toward policy and identity

management. It would have been obvious to one of ordinary skill in the art at the time

of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy

server which would integrate applications and improve workflow by integrating

directories and external databases in its policies so that legacy applications and

systems could still be used (SiteMinder, p. 22-23, last paragraph).

Applicant's arguments with respect to claims 39-43 have been considered but are

moot in view of the new ground(s) of rejection. The new grounds of rejection includes

the Du patent, which is being relied upon to teach the newly claimed limitations,

... *performing a first step of said first workflow with a first program to affect the*

target identity profile, wherein the first program comprises one of a user manager, a

group manager, and an organization manager; and performing a second step of said

first workflow with a second program, wherein the second program comprises one of the

user manager, the group manager, and the organization manager and wherein the

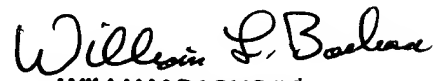*second program is different from the first program* (Claim 39).

Conclusion

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Amelia Rutledge whose telephone number is 571-272-

7508. The examiner can normally be reached on Monday - Friday 9:30 - 6:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Doug Hutton can be reached on 571-272-4137. The fax phone number for

the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published

applications may be obtained from either Private PAIR or Public PAIR. Status

information for unpublished applications is available through Private PAIR only. For

more information about the PAIR system, see http://pair-direct.uspto.gov. Should you

have questions on access to the Private PAIR system, contact the Electronic Business

Center (EBC) at 866-217-9197 (toll-free).

AR

WILLIAM BASHORE
PRIMARY EXAMINER